



AlphaAssetConsultingLLC

## Alpha Asset Consulting LLC

### ADV Part 3 – Form CRS (Customer Relationship Summary)

Form Date: June 10, 2020

Alpha Asset Consulting is registered with the Securities and Exchange Commission as an investment adviser. Brokerage and investment advisory services and fees differ, and it is important for you to understand these differences. Free and simple tools are available to research firms and financial professionals at [www.investor.gov/CRS](http://www.investor.gov/CRS), which also provides educational materials about broker-dealers, investment advisers, and investing.

#### ***What investment services and advice can you provide me?***

We are primarily an institutional investment consulting firm that provides advice to companies to assist them in managing the retirement plans that they offer to their employees. We only offer our investment advisory services to certain retail investors – “family and friends” clients – and are not seeking to expand our retail business.

We act solely as a consultant to assist you in developing and implementing investment strategies to achieve your financial goals. We do not manage your investments. We do not purchase or sell financial products. You may select your own investment custodians and brokerage firms. You may purchase any financial products available to you. You may choose to execute your own securities transactions, or you may choose to delegate non-discretionary authority to us for assistance in executing securities transactions that you have pre-approved. We monitor your investments and typically provide quarterly or semi-annual reporting to you. Our client relationships vary in size. We have no account minimums.

For additional information about retail services, please see our ADV Part 2 Brochure for Individual Clients at <https://adviserinfo.sec.gov/firm/brochure/122659>.

#### *Ask your financial professional...*

- *Given my financial situation, should I choose an investment advisory service? Why or why not?*
- *How will you choose investments to recommend to me?*
- *What is your relevant experience, including your licenses, education, and other qualifications? What do these qualifications mean?*

#### ***What fees will I pay?***

We are typically compensated for our services through fixed fees agreed to at the inception of our relationship with you, but we may be paid on a project-based basis or an hourly rate basis for one-time or non-periodic services.

In addition to our consulting fees, you will be responsible for paying all of the fees and costs charged by custodians, broker-dealers and investment managers. These fees and costs may include, but are not limited to, custodian fees, account maintenance fees, embedded investment management fees in mutual funds and ETFs, and transaction fees.

You will pay fees and costs whether you make or lose money on your investments. Fees and costs will reduce any amount of money you make on your investments over time. Please make sure you understand what fees and costs you are paying.

For additional information about fees, please see our ADV Part 2 Brochure for Individual Clients at <https://adviserinfo.sec.gov/firm/brochure/122659>.

*Ask your financial professional...*

- *Help me understand how these fees and costs might affect my investments. If I give you \$10,000 to invest, how much will go to fees and costs, and how much will be invested for me?*

***What are your legal obligations to me when acting as my investment adviser? How else does your firm make money and what conflicts of interest do you have?***

When we act as your investment adviser, we have to act in your best interest and not put our interest ahead of yours. At the same time, the way investment advisers make money can create some conflicts with your interests. You should understand and ask us about these potential conflicts because they can affect the investment advice you receive.

We are compensated solely through fees paid by you, to us, for the consulting advice that we provide. Our fees are not based on the size of your investment portfolio. We do not purchase or sell financial products. We do not receive compensation of any kind from any third parties. We have no conflicts of interest.

For additional information about conflicts of interest, please see our ADV Part 2 Brochure for Individual Clients at <https://adviserinfo.sec.gov/firm/brochure/122659>.

*Ask your financial professional...*

- *How might your conflicts of interest affect me, and how will you address them?*

***How do your financial professionals make money?***

We are a privately-held company, owned and operated by one financial professional, who receives no compensation other than equity distributions associated with her ownership of our company. We have no employees.

***Do you or your financial professionals have legal or disciplinary history?***

No. Visit [www.investor.gov/CRS](http://www.investor.gov/CRS) for a free and simple search tool to research us and our financial professional.

*Ask your financial professional...*

- *As a financial professional, do you have any disciplinary history? For what type of conduct?*

For additional information about our investment advisory retail services, please see our ADV Part 2 Brochure for Individual Clients at <https://adviserinfo.sec.gov/firm/brochure/122659>. If you would like up-to-date information or a copy of this disclosure, please call 303-321-3837.

*Ask your financial professional...*

- *Who is my primary contact person? Is he or she a representative of an investment adviser or a broker-dealer? Who can I talk to if I have concerns about how this person is treating me?*